

Commercial-in-Confidence

Request for Quotation

Quotation No.

Development of an integrated financial and performance framework

Office for the Community Sector



Tasmania

Department of Health and Human Services

July, 2008

Commercial-in-Confidence

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1. Essential Information

1.1 Contact officer

ENQUIRIES ABOUT THIS REQUEST FOR QUOTATION SHOULD BE DIRECTED TO THE CONTACT OFFICER:

Name: Associate Professor Des Graham
Telephone: (03) 6233 8521
Email: desmond.graham@dhhs.tas.gov.au
Facsimile: (03) 6233 3545
Address: Plaza Level, Block 1, 188 Collins Street, Hobart TAS 7000

1.2 Place for lodgement of offers

Director
Office for the Community Sector
Department of Health and Human Services
Plaza Level, Block 1, 188 Collins Street
HOBART 7000
Fax: (03) 6233 3545

1.3 Closing time for offers

5.00 pm, 25 August 2008

1.4 Issue date of Request for Quotation

25 July 2008

2. Conditions of Quotation

2.1 *General*

The Conditions of Quotation are the conditions upon which the Department is prepared to receive and evaluate offers. Failure to strictly observe these conditions may result in an offer being refused without evaluation.

The Quotation Form is a required form that **must** be returned as part of the Offer. An offer is likely to be rejected if this Form is not used. An offer must contain all the information and details required by this Request for Quotation.

The Conditions of Quotation also specify the **evaluation criteria** against which Offers will be evaluated.

2.2 *Confidentiality*

Conditions Relating to the Crown Policy on Confidentiality Information in Government Contracts

The Crown is committed to ensuring that Government contracting is conducted in an open and transparent manner and that unnecessary confidentiality provisions do not fetter scrutiny of contracts. The Crown's policy on confidentiality of information provides that in any contract between the Crown and any other party, confidentiality requirements in relation to the provisions of the contract are not to be included. An exemption from this position may be approved by the Crown Contracts Confidentiality Standing Committee if it is determined that confidentiality is in the public interest.

The RFQ remains the property of the Department and may be used only to prepare a Tender in response.

- Except for information available to the public generally (other than by breach of these Conditions), a person receiving the RFQ must not publish, disclose or copy any of its content, except to prepare a Quotation in response.
- The Supplier must keep confidential all information provided by the Crown, as part of, or in connection with, the RFQ.
- All Quotations become the property of the Department, which may reproduce all or any part of a Quotation for Quotation evaluation.
- Despite any confidentiality or intellectual property right subsisting in the Quotation that gives rise to a binding contract with the Crown:
 - (a) the Department may reproduce all or any part of the Quotation in a contract awarded to the Supplier, without reference to the Supplier;
 - (b) subject to paragraph (c) of this subclause, either party may publish all or any part of that Quotation that is included in a contract, without reference to the other; and

- (c) neither party may publish any part of that Quotation that the Crown Contracts Confidentiality Standing Committee has determined should be exempt from the Crown's policy on confidentiality in Government contracts, during the period of exemption determined by the Committee.
- Subject to the previous subclause, the Crown and the Supplier must hold the Quotation in confidence, so far as the law allows, except if:
 - (a) the information is available to the public generally, other than by breach of this obligation;
 - (b) a law requires a party to file, record or register something that includes information in the Quotation;
 - (c) disclosure is necessary or advisable to get a consent, authorisation, approval or licence from a governmental or public body or authority;
 - (d) it is necessary or advisable to make disclosure to a taxation or fiscal authority;
 - (e) it is necessary to provide the information in the Quotation in answer to a question asked of a Minister in the Parliament, or otherwise to comply with a Minister's obligations to Parliament; or
 - (f) it is disclosed confidentially to a party's professional advisers:
 - (g) to get professional advice about this quotation process; or
 - (h) otherwise to consult such professional advisers

3.1.1 Application for exemption

(A) CONDITIONS IF APPLICATION FOR EXEMPTION IS MADE

Only the Department may apply for an exemption from the Crown's policy on confidentiality. If, before the award of a contract to a Supplier, the Department determines it appropriate, whether on the basis of its own requirements or in response to a request from the Supplier, to apply to the Crown Contracts Confidentiality Standing Committee for an exemption of all or part of that contract from the Crown's policy on confidentiality, a condition of the award of that contract to the Supplier is that the Department and the Supplier accept the Committee's determination.

(B) CONDITION IF APPLICATION FOR EXEMPTION IS NOT MADE

If the Department declines to apply for exemption from the Crown's policy on confidentiality, in response to a request from the Supplier, then:

- (i) if the Department wishes to proceed with that Quotation, the Supplier must, strictly within the time the Department allows, either:
 - (a) withdraw from this quotation process; or
 - (b) waive all confidentiality requirements in writing; or

- (ii) if the Department does not wish to proceed with the Quotation, the Department may reject it and consider other Quotations.

(C) NON-SATISFACTION OF CONDITION

If the condition under either clause 3.1.1(A) or clause 3.1.1(B)(i) of the Conditions of Quotation is not satisfied, the Department may reject the Quotation and consider other Quotations.

If an application for exemption is not granted, or is granted on terms not acceptable to either party, that party may either withdraw from the negotiations and the tender process or waive its confidentiality requirements.

2.3 Intellectual property

All proposals will become the property of the Tasmanian Government on submission. The Government may make copies of any proposal for any purpose related to this quotation process.

2.4 Disclosure of Information

Despite any copyright or other intellectual property right that subsists in the offer documents, the contractor agrees that the Crown may publicly disclose on the Internet, in Annual Reports, or otherwise the following details of any contract awarded to the contractor pursuant to this quotation process:

- (a) a description of the goods or services;
- (b) the date of the contract and its commencement date, duration and expiry date;
- (c) a description of any option to extend;
- (d) the name and business address of the parties;
- (e) the total contract price including the price that would be payable for the extended term, if any option to extend is exercised; and
- (f) the procurement method used.

2.5 Content and format of quotation

Offers must include all the information:

- (a) requested in the Specification; and
- (b) requested in the Request for Quotation generally.

All items, features and functions specified in the Request for Quotation are mandatory requirements unless expressly stated otherwise.

2.6 Price

All monetary amounts are to be expressed in Australian Dollars and must be quoted without the addition of GST

2.7 Preparation of offer

The Tasmanian Government will neither be responsible, nor pay, for any expense or loss, which may be incurred in the preparation and presentation of an offer.

2.8 Lodgement of offer

Offers must be lodged by the closing time and date specified on page 3 of this Request for Quotation and in the manner set out below:

Three copies of the offer may be lodged by mail or facsimile or email as per the lodgement details under Section 1.2. Electronic signatures must not be used unless the bidder and the Department have signed an agreement approving the use of electronic signatures. This will require signature pages being faxed or mailed to the Department before the closing time and date as specified in Section 1.2.

2.9 Late offers

Late Offers will not be accepted unless the Department is of the view (and its decision will be absolute and final) that:

- (a) circumstances beyond the bidder's control were the cause of the lateness; and
- (b) accepting a late offer will not compromise the integrity of the procurement process or provide any unfair advantage to the bidder lodging the late offer.

Late Offers that are not accepted will be marked on the envelope with the time and date of receipt, and be returned unopened to the bidder.

2.10 Conditions for participation (mandatory requirements)

The (agency) will only consider offers that meet the following conditions for participation:

- (a) Comply with the Conditions of Quotation as set out in this document;
- (b) An ABN is supplied;

The Department will exclude an offer from further consideration if it considers that the offer does not satisfy the Conditions for Participation.

2.11 Evaluation against evaluation criteria

The Department of Health and Human Services in its evaluation of proposals will take all relevant factors into consideration, including value for money, and will weigh them to achieve the optimal outcome for the Government.

In determining value for money, offers will be assessed against the following evaluation criteria and weightings:

Details	Weighting
Demonstrated understanding of the requirements as detailed in the	35%

Specifications – Department’s Requirement’s, including an overview of the proposed methodology and development components	
Demonstrated relevant experience of the consultant in undertaking development of projects similar in nature	25%.
Relevant skills, knowledge and experience of key personnel nominated to provide the services	20%
Demonstrated knowledge and understanding of finance and performance frameworks relevant to purchasing arrangements between government and the community sector	10%
Demonstrated experience in and understanding of consultative methodologies that lead to alignment between diverse organisations and readiness for change	10%

The following scoring system will be used to evaluate the responses to the evaluation criteria for each offer received.

Score	Description	Full Description
10	Exceptional	Full achievement of the requirements specified in the RFP, for that criterion. Demonstrated strengths, no errors, risk, weaknesses or omissions.
8-9	Superior	Sound achievement of the requirements specified in the RFP for that criterion. Demonstrated strengths, negligible errors, weaknesses or omissions, which may be acceptable as offered
6-7	Good	Reasonable achievement of the requirements specified in the RFP for that criterion. Some errors, risks, weaknesses or omissions, which can be corrected/overcome with minimum effort
4-5	Adequate	Minimal achievement of the requirements specified in the RFP for that criterion. Some errors, risks, weaknesses or omissions, which are possible to correct/overcome and make acceptable
1-3	Poor to deficient	No achievement of the requirements specified in the RFP for that criterion. Existence of numerous errors, risks, weaknesses or omissions, which are difficult to correct/overcome and make acceptable
0	Unacceptable	Totally deficient and non-compliant for that criterion.

The weighted aggregate score of each offer will be used in the final evaluation of the criteria and in the overall evaluation of the appropriateness and viability of offers. Any offer that is not assessed as being at least adequate against any criterion may not be considered further.

The raw score will then be multiplied by the criterion weighting to obtain a weighted score. Total weighted score, together with proposed cost, will be used to rank all Quotations received.

The consultant whose offer gains the highest cumulative score, subject to achieving a satisfactory score against each criterion, will be recommended by the evaluation panel for

engagement.

Any fees and charges that may be payable by the Department will also be taken into account in the assessment of Quotations.

Consultants may be required to meet with the selection panel to discuss their Quotations.

2.12 Right to Negotiate

The Department reserves the right:

- to negotiate with organisations submitting Quotations; and
- at its absolute discretion to determine the scope of the product or services to be provided and the number of organisations with whom it will contract.

2.13 Notification

The successful contractor will be notified in writing (with accompanying purchase order if necessary) of the outcome of the selection process as soon as possible following the completion of the selection process. No other form of advice will constitute advice of award of the contract.

2.14 Further information

Further information regarding this Request for Quotation can be obtained from the Contact Officer for this procurement. The Contact Officer's details are set out on page 2.

2.15 Government policies

The Tasmanian Government has a number of purchasing policies that form part of these Conditions of Quotation.

2.15.1 Debriefing

All bidders are encouraged to request a debriefing to discuss the reasons for their non-selection. Persons who would like a debriefing should contact the Contact Officer.

If requested to do so, the Department will provide a debriefing for unsuccessful bidders after either:

- (a) a contract has been executed for the supply of the requirements detailed in the Specification; or
- (b) the Department decides not to award a Contract for the supply of the requirements detailed in the Specification.

2.15.2 Complaints process

Bidders may lodge a complaint if they believe the quotation process has not complied with the Tasmanian Government's procurement policies. Further information on the formal complaints process is available from the Tasmanian Government website at www.purchasing.tas.gov.au or may be obtained in hard copy from the Contact Officer.

2.15.3 Year 2000 compliance

Bidders are required, if relevant, to issue a statement supplying details of the goods and services Year 2000 Compliance. Bidders are also alerted to the following Tasmanian Government procurement policy that will be included in the formal contract to deliver the Department's requirements.

"All services and/or products supplied under this Agreement will be Year 2000 Compliant. "Year 2000 Compliant" means, in relation to a product, that neither performance nor functionality of the product is affected by dates prior to, during or after the year 2000. In particular, but without limiting the foregoing:

- (a) no value for the current date will cause any interruption in the operation of the product;
- (b) date based functionality must behave consistently and correctly for all dates, and the change to or from any date, prior to, during or after the year 2000;
- (c) in all interfaces and data storage, the century in any date must be stated either explicitly or by unambiguous algorithms or inferencing rules;
- (d) the year 2000 must be recognised as a leap year; and
- (e) the product must be able to interface with and continue to operate when interfaced with any related products whether that related product references years before and after the end of 1999 by two or four digits."

2.15.4 Tasmanian Industry Development

The Tasmanian Government is committed to enhancing opportunities for Tasmanian industry development. Bidders are encouraged to use the free and confidential services of the Industry Capability Network Tasmania (ICNTAS) to assist in identifying local sources of goods and services and, where applicable, to assist in forming consortia and developing industry Involvement and other local industry proposals. All responsibility in the selection of any supplier identified by the ICNTAS rests with the bidder. Bidders are also encouraged to promote ICNTAS services by including this clause in their own agreements with subcontractors.

The Tasmanian Government does not warrant the performance of any supplier identified by the ICNTAS.

2.15.5 ANZGPA and AUSFTA

The Tasmanian Government, together with the Commonwealth and all other States and Territories, is a signatory to the ANZGPA and has confirmed that it will participate in the Government Procurement Chapter of the AUSFTA.

It is therefore committed to the application of principles that ensure that Australian, New Zealand and United States suppliers are given equal consideration and opportunities to supply goods and services to Commonwealth, State and Territory Governments.

2.15.6 Dumped goods

Bidders are alerted to the following compulsory Tasmanian Government procurement policy which will be included in the formal contract to deliver the Department's Requirements.

"Dumped Goods, that is goods from overseas that are imported into Australia at less than their normal value, causing or threatening to cause material injury to an Australian industry production like goods, or materially hindering the establishment of such an industry, are not acceptable.

Where it is reasonably suspected that Dumped Goods are being supplied, the Agreement will be suspended to enable the suspicion to be confirmed or dismissed under the Commonwealth Customs legislation. Any costs or losses incurred by the Crown as a result of any suspension under this clause shall be borne and paid for by the Contractor.

Where the goods are subsequently determined by the Commonwealth Minister for Customs as Dumped Goods the Agreement will be terminated. Any consequential costs or losses of the Contractor shall be borne and paid for by the Contractor. In addition, any extra costs incurred by the Crown will constitute a debt recoverable from the Contractor."

2.16 Special condition - Provisions relating to the operation of the Professional Standards Act 2005

2.16.1 Conditions of appointment

The Department will only appoint, as successful Contractor, a person who agrees to the following conditions, when relevant.

2.16.2 No Scheme in force

If no scheme in force under the *Professional Standards Act 2005* applies to a bidder, the Department will require the bidder to waive all present and future rights, as against the Crown, to claim any limitation of liability provided by any future scheme under the *Professional Standards Act 2005* in relation to future legal liability, claims or proceedings arising from, or attributable to, the bidder delivering the Department's requirements including, but not limited to, a wrongful (including negligent) act or omission.

2.16.3 Scheme in force

If a scheme in force under the *Professional Standards Act 2005* applies to a bidder, the bidder will obtain an approval under Section 27 of the *Professional Standards Act 2005* for a higher maximum liability in relation to cases to which the scheme applies and for a level of liability not lower than the level described in the Specification.

3. Specification – Departments requirements

3.1 *Scope of Quotation*

This Request for Quotation is to seek a suitable consultant(s) to develop an appropriate and contemporary financial and performance management framework for the effective delivery of grants payments from the Department of Health and Human Services (DHHS) to community services (NGO's), and the performance management of these service agreements. The consultant(s) will be required to provide a detailed framework (including the identification of key elements) that will:

- Provide a clearly articulated grants program which describes the operational framework, outlines the principles and processes of administrating, monitoring and acquitting of grants, includes clear roles and responsibilities of key stakeholders including the Office for the Community Sector, Community Sector Organisations and DHHS Operational Units.
- The operational framework should include processes which describe the application, assessment and selection processes, grant approval processes, variations and extensions of existing grants, funding and performance requirements, monitoring and evaluation processes and requirements including reporting and information requirements, funding periods and processes for payment of funds and processes for terminating service agreements and funding.
- Provide appropriate risk management parameters at all levels of the system.
- Include reference to DHHS policy and relevant legislation including Treasurers instructions.
- Contribute to developing an alignment between the wide range of stakeholders involved, and their capacity to respond to the changed framework.

In addition to the provision of a comprehensive operational framework the Consultant(s) will be required to provide advice on processes and related infrastructure for the implementation of the Operational Framework. This may include (but is not limited to)

- Policies and procedures
- Review and appeal procedures
- Templates
- Education and training
- Governance and delegation matrices
- Decision making and role delineation flowcharts
- Information management systems and data definitions
- Human resource competencies and skills requirements for grants administration
- Unit pricing methodology for identified service types

3.2 Background

The Department of Health and Human Services currently invests about 10% of budget in service delivery by community sector organisations. Approximately 240 organisations currently partner with the Department to deliver services through over 450 service agreements across over 70 service types.

In April 2008 the Department formed the Office for the Community Sector to develop a more strategic and holistic approach to developing and managing service provision by community sector organisations. An integrated financial and performance framework is one of three strategic directions being progressed by the Office. A copy of the draft strategic directions paper is attached for information (attachment one)

Current arrangements separate financial management (which is the responsibility of the Grants Unit) and performance management (which is the responsibility of the operational unit proposing to purchase services from the community sector). The current system has limitations in ensuring outcomes based funding approach, or a strong performance management focus is adopted.

The Office for the Community Sector proposes to combine financial and performance management, with the Office being responsible for the process of purchase and managing contracts, and operational units responsible for designing service specifications including outcome and key performance measures, and providing expertise on content specific contract management issues. The intention is to integrate financial and performance management, and develop a much stronger focus on outcomes in both service agreements and the contract management process.

The development of an integrated financial and performance framework must contribute to building alignment among all stakeholders and confidence that the change will result in better partnerships for the future.

3.3 Statement of Requirements

3.3.1 Terms of Reference

The reform of the financial and performance management of grants administered by the Department is a three stage process:

1. **Situation analysis** of the current system to identify all systems and processes that broadly comprise the system. This includes identifying the strengths and weaknesses of the current system and related issues, and an environmental scan of approaches to related grants and contract management utilised in other jurisdictions. This activity has largely been completed by the OCS. The OCS anticipates that it will be able to provide most baseline information that is anticipated to be requested by the Consultant(s)
2. **Development of an overarching framework** for the future financial and performance management of grants for the delivery of services by community sector organisations. This includes providing a clearly articulated grants program which describes the operational framework, outlines the principles and processes of administering,

monitoring and acquitting of grants, includes clear roles and responsibilities of key stakeholders including the Office for the Community Sector, Community Sector Organisations and DHHS Operational Units. This stage also includes the development of the change process itself so that alignment and support for the model is maximised. It is also anticipated that in the development of the operational framework key elements for administrating the grants program will be identified including those elements identified under 3.1.

3. **Implementation of the framework** including the detailed development of specified systems, policies and procedures, project and change management to ensure a successful transition within the timeframe available.

This request for quotation relates to stage two of this process. Attachment two provides a dot point overview of the scope for this stage. Please note that the matrix in attachment two is indicative and is not a definitive representation of the scope of the framework.

It is recognised that elements of stage one and stage three may need to be addressed by respondents in their proposal, and therefore the evaluation of responses will not be strictly limited to consideration of stage two processes only.

3.3.2 Methodology

The Office for the Community Sector has conducted a broad situation analysis that will fulfil most of the requirements of stage one. This material will be provided to the consultant(s) on commencement.

To fill the requirements of stage two the consultant(s) will be required to:

- Attend an initial briefing session with the Project Steering Committee and further meetings as required;
- Identify and visit all relevant stakeholders (DHHS operational units, the grants unit, other elements of DHHS - for example, internal audit and external stakeholders) and conduct discussions with managers and key workers as needed.

3.3.3 Project Governance

The Office for the Community Sector (OCS) is a recently created business unit of the Department of Health and Human Services. Its role is to provide strategic leadership in the development of the community sector and increase the sector's effectiveness.

A range of other Operational Units also have a significant stake in the financial and performance framework that will be implemented as a result of this project.

Community Sector organisations that deliver services under formal agreements are also important stakeholders.

A steering committee including representation from the groups above, chaired by the Deputy Secretary for Human Services, will be established to oversight this project. The Terms of Reference for the committee can be reviewed in attachment three.

3.3.4 Outcome/Deliverables

The consultant(s) shall provide the following:–

- A draft written report addressing the deliverables as identified under the consultancy terms of reference and scope of quotation.
- A final written report within one week of receiving final comments on the report from the Department.

3.4 *Implementation timetable*

The proposed timeframe for the conduct of the evaluation is negotiable within relatively tight timeframes; however as this is a priority project for OCS, the following timelines are proposed as a guide:

Activity	Date
Closing date for Quotes	25 August 2008
Successful Consultant(s) notified	15 September 2008
Review commences	29 September 2008
Draft report presented	No later than Monday 22 December 2008
Final report presented	No later than 1 week after comments received on draft

3.5 *Information to be supplied by interested consultants*

3.5.1 Financial and Standard Information to be provided

Quotations are to be submitted by completing and lodging the accompanying Response Form. All prices are to be quoted on a GST exclusive basis.

In order to facilitate the evaluation of Quotations, where a non fixed price is offered, details of all applicable fees and charges should be quoted on an hourly rate, or estimated average hourly rate basis, with any likely out-of-pocket expenses identified and quantified. Where possible, preference will be given to fixed fee quotations.

All information submitted will be treated as confidential except where disclosure of the information is required by law or statutory requirement. In this respect the Department is required to publicly report:

- the successful consultants name;
- a description of the consultancy; and
- the total contract price.

The Department may undertake such investigations as are necessary to assess and verify information provided by the respondent. On lodging a proposal a respondent will be deemed to have authorised the Department to perform such inquiries.

3.5.2 Confirmation of Availability

The Department requires an assurance of the continuity, availability and accessibility of nominated key personnel for the period of the consultancy. In particular, proposals submitted are required to include confirmation that the key personnel are available to commence work immediately upon appointment.

3.5.3 Conflict of Interest

Quotations should indicate any actual, perceived or potential conflicts of interest that might exist now or during the course of the consultancy.

4 QUOTATION & RESPONSE FORMS

Quotation No:

Date: []

Department of Health and Human Services
Office for the Community Sector
Ground Floor, 188 Collins Street, HOBART 7000
CLOSING TIME for submission of Offers

5.00 PM, 25 August 2008

REQUEST FOR QUOTATION "COMMUNITY SECTOR EVALUATION"

I/we submit this offer, by way of OFFER, to deliver the requirements specified in the above-mentioned Request for Quotation ("RFQ"). This Offer comprises:

- (1) this Quotation Form;
- (2) The accompanying Response Form including the pricing schedule setting out the price quoted for the provision of the Department's requirements;

I/we declare that:

- (a) The Conditions of Quotation are agreed;
- (b) The information and particulars provided as part of this offer are accurate and correct; and
- (c) I am/we are duly authorised to sign this Quotation Form for and on behalf of the bidder.

Signed by the bidder or
for and on behalf of the bidder by a
person who by his/her signature duly
warrants his/her authority to sign

Name of bidder:

Address of bidder:

(Include fax no. & telephone no.)

ABN of bidder:

Commercial-in-Confidence

RESPONSE FORM

Organisational Details

Name of organisation:

Address:

Postal Address:

Contact Name:

Telephone Number:

Fax Number:

Email Address:

ABN:

RELEVANT KNOWLEDGE AND EXPERIENCE

Provide details of similar projects or assignments undertaken by your company for other organisations.

APPROACH TO THE PROJECT

Outline your organisation's preferred methodology and approach to providing the required services.

PERSONNEL

Outline of team members proposed for this project, and their availability:

Name	Location	Availability

For each person nominated above, provide an outline of knowledge, skills and experience relevant to the project:

PRICING SCHEDULE: - FEE STRUCTURE

Provide details of the proposed fee structure for the project.

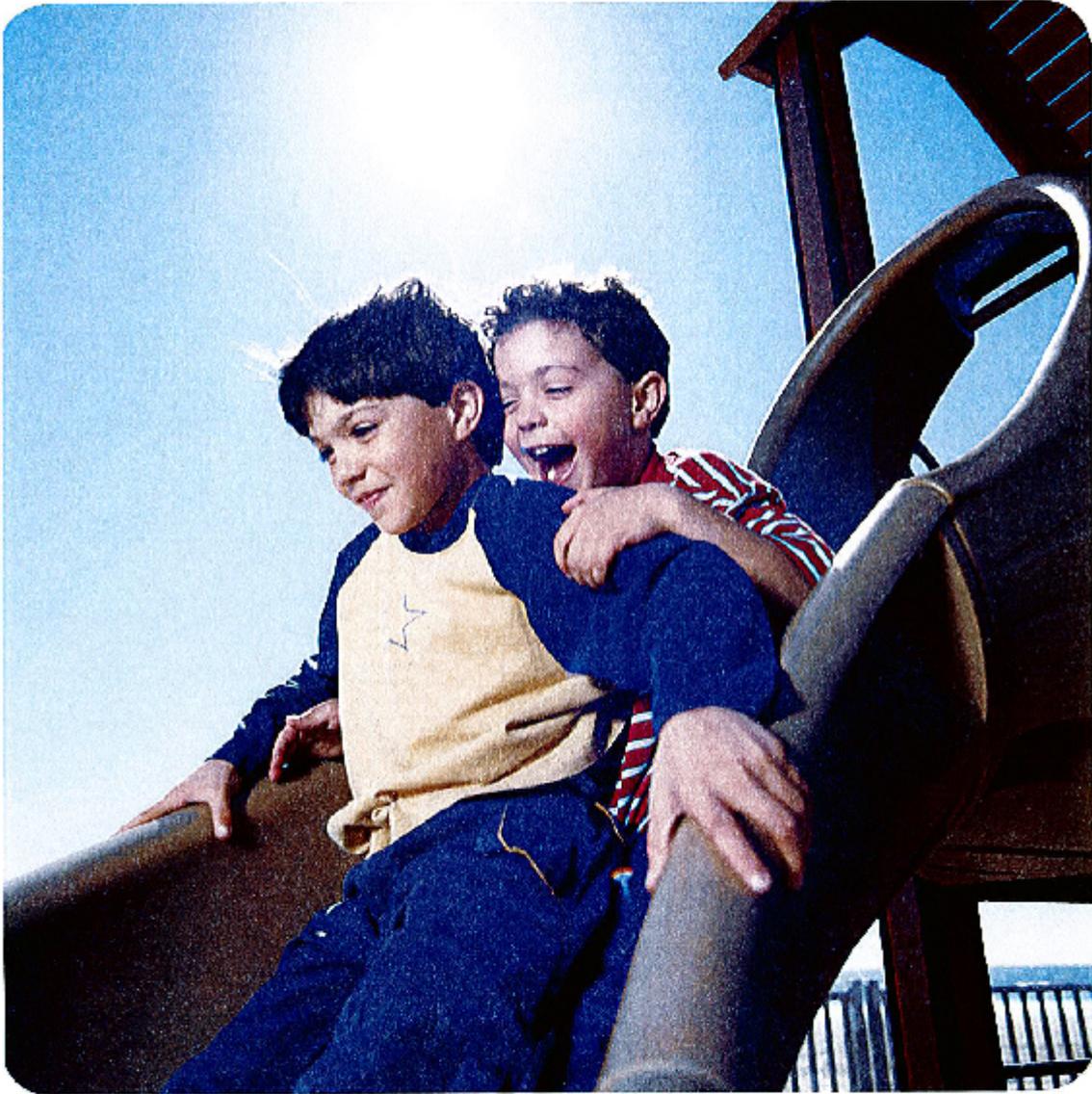
(Please note:- where a non fixed price is offered, details of all applicable fees and charges should be quoted on an hourly rate, or estimated average hourly rate basis, with any likely out-of-pocket expenses identified and quantified. Where possible, preference will be given to fixed fee proposals).

ADDITIONAL INFORMATION

Provide any other information relevant to you application including details of any conflicts of interest.

Office for the Community Sector

Draft Strategic Plan 2008 - 2010
people working in partnership



Department of Health and Human Services



DHHS INTEGRATED PERFORMANCE AND FINANCE FRAMEWORK

Matters for Consideration

FRAMEWORK	ACTION AREAS	SHORT TERM ACTIONS	BY 30 JUNE 2009
Integrated Finance and Performance Framework	Policies and Procedures	<ul style="list-style-type: none"> • Review existing policies and procedures to; <ul style="list-style-type: none"> ○ Approve ○ Amend ○ New • Review existing policies and procedures to ensure compliance with; <ul style="list-style-type: none"> ○ Legislation ○ Treasurers instructions ○ DHHS delegations matrix 	<ul style="list-style-type: none"> • Ensure compliance with Treasury Instructions • Review and appeals processes • Complaints policies • Integration with DHHS and Business Unit Strategic Plans • Built on agreed DHHS principles and goals • Record keeping - internal and external (audit)
	Definitions		<ul style="list-style-type: none"> • Grant • Grant program • Procurement • EOI • RFP • Preferred providers • Value for money • Etc
	Service specification	<ul style="list-style-type: none"> • Inclusion of price as related to resource allocation formula(s) • Inclusion of relevant Legislative requirements 	<ul style="list-style-type: none"> • Consistency with DHHS and BU plans and principles • Quality and safety <ul style="list-style-type: none"> ○ See Quality and Safety • Compliance framework • Monitoring • Evaluation
	Templates	<ul style="list-style-type: none"> • Development of templates covering; <ul style="list-style-type: none"> ○ Resource allocation formulas ○ Risk management ○ Resource allocation formula(s) 	<ul style="list-style-type: none"> • Development of templates covering; <ul style="list-style-type: none"> ○ Service agreements ○ Schedules <ul style="list-style-type: none"> ▪ Service specific ations ○ Monitoring ○ Evaluation

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Tas Govt Planning Frameworks	DHHS planning frameworks	<ul style="list-style-type: none"> • Needs analysis of service requirements purchased through CSO's • Identification (volume and type) of service need by population • DHHS prioritisation criteria • Sector capacity (availability versus developmental) • Resource requirements and availability • Consistent with Quality and Safety framework • Governance – roles and responsibility clarity • Risk management framework establishment 	<ul style="list-style-type: none"> • Approval processes • Compliance frameworks • Outcome statements • KPI's • Monitoring and Evaluation
Legislation	Review relevant legislation	<ul style="list-style-type: none"> • Ensure relevant Insurance, legislation and regulations eg. Privacy, Disability etc are incorporated into relevant; <ul style="list-style-type: none"> ○ Policies ○ Procedures ○ Delegations • Responsibilities relating to same clearly explained in service agreements and stakeholders 	<ul style="list-style-type: none"> • Treasurers instructions incorporated into; <ul style="list-style-type: none"> ○ Policies ○ Procedures, ○ Delegations ○ Roles and responsibilities
Quality and Safety	DHHS framework	<ul style="list-style-type: none"> • Ensure clear <ul style="list-style-type: none"> ○ Standards – DHHS, C'wlth, Professional ○ Benchmarks/standards ○ Accreditation/reviews <p>are included in new service specifications and relevant templates developed.</p>	<ul style="list-style-type: none"> • Ensure clear; <ul style="list-style-type: none"> ○ Outcome statements ○ Outcome measures ○ KPI's ○ Satisfaction (internal and external) <p>are included in new service specifications and relevant templates developed.</p>
Financial Investment	Value for money	<ul style="list-style-type: none"> • Pricing Principles • Review existing and develop new Resource Allocation Formula's including; <ul style="list-style-type: none"> ○ Fixed ○ Investment models ○ Performance payments ○ Historical funding agreements • Variables for assessment beyond price (service specification) • Demand management framework • Emergency relief funding framework • Alternative funding sources (eg C'wlth) • See quality and safety 	<ul style="list-style-type: none"> • Definitions clarified • Indexation clarified • Acquittal requirements implemented • See quality and safety
Governance	Developmental and approval	<ul style="list-style-type: none"> • Delegation framework 	<ul style="list-style-type: none"> • Committee structures amended to better reflect the new integrated performance and finance framework

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	chains		<ul style="list-style-type: none"> including oversight of <ul style="list-style-type: none"> o business case development o purchasing approvals consistent with FMAA and TI's o DHHS delegation policies • Clarity of roles and responsibilities for BU, OCS and CSO • Consumer and carer participation • Community participation
Education and Training		<ul style="list-style-type: none"> • Development and implementation of; <ul style="list-style-type: none"> o Change management o Skills development o Education and training packages 	<p>Introduction of;</p> <ul style="list-style-type: none"> o Change management o Skills development o Education and training packages <p>consistent with changes introduced at 30 June 2008</p>
Information management		<ul style="list-style-type: none"> • Undertake data interrogation • Establish a central data depository • Develop information management business case for a new information business case • Establish data reporting requirements to; <ul style="list-style-type: none"> o CSO's o DHHS BU o DHHS o Treasury o other 	<ul style="list-style-type: none"> • Implement approval chains consistent with the integrated Performance and Finance framework to ensure efficiencies and avoid duplication and internal stakeholder competition • Undertake audit of all existing service agreements to identify; <ul style="list-style-type: none"> o Clarity of service purchased by type, volume, region and price o Duplication of purchasing • Identify potential efficiencies including streamlining of DHHS BU collaborative purchasing • Clarify Role of Finance One in administration of Grants • Investigate opportunities for data amalgamation from existing data banks • Clarify data definitions • Review data compliance from both BU and CSO • Establish interim data base

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<ul style="list-style-type: none">• Legend	<ul style="list-style-type: none">• IA – Internal Audit• IMS – Information Management Service• CFO – Chief Finance Officer• M/RMLS Manager Risk Management and Legislative Support	<ul style="list-style-type: none">• PM – Project Manager• OCS – Office for the Community Sector• SD – Strategic Development Unit• Q&S – Quality and Safety• FPU - Finance and Performance Unit
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Attachment three: Terms of Reference - Project Reference Committee



DEPARTMENT *of* HEALTH
and HUMAN SERVICES

OFFICE FOR THE COMMUNITY SECTOR

PERFORMANCE AND FINANCE FRAMEWORK PROJECT REFERENCE COMMITTEE

These Terms of Reference outline the Office for the Community Sector (OCS) Performance and Finance Framework (PFF) Reference Committee (PFFRC) including the Committee's objectives, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements.

6. Objective

The objective of the Committee is to provide expert advice and assistance to the OCS, Deputy Secretary Human Services and Secretary (and the Agency Executive Committee) on the planning, development, implementation and evaluation associated with the PFF Project.

Composition and tenure

The Committee will consist of seven members appointed by the Deputy Secretary, Human Services. Appointed members may provide delegates in their absence.

The Deputy Secretary will be the Chair of the Committee and the Director OCS the Deputy Chair.

In addition to members of the Committee the Chair of the PFFRC may invite representation from Government Departments, Community Sector Organisations or individuals who can contribute expertise or advice from time to time as required by the Committee.

The members, taken collectively, will have a broad range of skills and experience relevant to the Project.

Membership will include;

- ▶ Chair: Deputy Secretary Human Services
- ▶ Deputy Chair: Director, Office for the Community Sector
- ▶ Member: Manager: Performance and Finance Unit OCS
- ▶ Member: Manager, Internal Auditor
- ▶ Member: Chief Finance Officer
- ▶ Member: Manager, Risk Management and Legal Support
- ▶ Member: Two nominations from community sector organisations

Also in attendance:

- ▶ OCS Secretariat
- ▶ PFF Project Manager
- ▶ Manager, Strategic Development OCS

Roles and responsibilities

- ▶ The Committee has no executive powers;
- ▶ The Committee is directly responsible and accountable to the Deputy Secretary for the exercise of its responsibilities;
- ▶ The responsibilities of the Committee may be revised or expanded in consultation with, or as requested by, the Secretary from time to time;

The Committee's responsibilities are:

- ▶ to provide high level advice and expertise related to the planning, development, implementation and evaluation of the Performance and Finance Framework project;
- ▶ to ensure that the project has in place a current and comprehensive management framework, and associated procedures for effective project management including risk management plans;
- ▶ act as a forum for communication between the project key stakeholders both internal and external to DHHS;
- ▶ review and approve the project work plan with additions to the plan approved by the Committee Chair;
- ▶ assist in the identification of resources to carry out the project and its implementation;
- ▶ assist in the identification, review and development of contemporary policies, procedures, templates, resource allocation formulas and delegations associated with the PFF;
- ▶ assist in the identification of any required changes to the design or implementation of DHHS internal controls;
- ▶ provide advice on the development of change management processes associated with the implementation of the PFF;
- ▶ provide advice in the development of education and training associated with the implementation of project elements;
- ▶ ensure due consideration has been given to any legal and compliance risks as per DHHS's risk assessment and management arrangements;
- ▶ provide advice to the Secretary (and DHHS AEC) on significant issues identified during project management including any actions taken;
- ▶ monitor the projects timelines and ensure timely reporting of project activity to relevant stakeholders; and
- ▶ assist in accessing appropriate internal and external stakeholders.

Responsibilities of members

Members of the Committee are expected to:

- ▶ contribute the time needed to study and understand the project;

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- ▶ apply good analytical skills, objectivity and good judgment; and
- ▶ provide advice and express their opinions in an open and professional manner and ask questions that are fundamental to the success of the project.

Reporting

The OCS will provide a written report at all committee meetings. The report will include;

- ▶ a summary of progress against project activities and timelines;
- ▶ details of any significant emerging risks which may impact on the project; and
- ▶ the Chair of the Committee may, at any time, report to the DHHS Secretary any matter deemed of sufficient importance to do so.

Administrative arrangements

Meetings

- ▶ The Committee will meet at least monthly. A forward meeting plan, including meeting dates and agenda items, will be agreed by the Committee at its first meeting.

Attendance at meetings and quorums

- ▶ A quorum will consist of four Committee members or their delegate.
- ▶ The Chair of the Committee may also request other employees, or individuals attend Committee meetings or participate for certain agenda items as required from time to time.

Secretariat

- ▶ The OCS will provide secretariat support to the Committee. The Secretariat will ensure the agenda for each meeting and supporting papers are circulated, after approval from the Chair, at least one week before the meeting, and ensure the minutes of the meetings are prepared and maintained. Minutes must be approved by the Chair.

Conflicts of interest

- ▶ Committee members will provide written declarations to the Chair stating they do not have any conflicts of interest that would preclude them from being members of the Committee.
- ▶ Committee members must declare any conflicts of interest at the start of each meeting or before discussion of the relevant agenda item or topic. Details of any conflicts of interest should be appropriately minuted.
- ▶ Where members or observers at Committee meetings are deemed to have a real, or perceived, conflict of interest it may be appropriate that they are excused from Committee deliberations on the issue where a conflict of interest exists.

Induction

- ▶ New members will receive relevant information and briefings on their appointment to assist them to

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meet their Committee responsibilities.

Approved/Not Approved

Deputy Secretary Human Services; and

Chair,

Office for the Community Sector, Performance and Finance Framework Project Reference Committee.